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*IN THE UNITED STATES PATENT AND TRADEMARK OFFICE*

Applicant: Bruce Bent et al.  
Title: SYSTEMS AND METHODS FOR ADMINISTERING  
RETURN SWEEP ACCOUNTS  
Appl. No.: 10/071,053  
Filing Date: 2/8/2002  
Examiner: Daniel S. Felton  
Art Unit: 3693  
Confirmation Number: 9308

**AMENDMENT TRANSMITTAL**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Transmitted herewith is an amendment in the above-identified application.

☐ Small Entity status under 37 C.F.R. § 1.9 and § 1.27 has been established by a previous assertion of Small Entity status.

☐ Assertion of Small Entity status is enclosed.

☒ The fee required for additional claims is calculated below:

	Claims As Amended		Previously Paid For		Extra Claims Present		Rate		Additional Claims Fee
Total Claims:	33	-	33	=	0	x	\$50.00	=	\$0.00
Independent Claims:	4	-	4	=	0	x	\$200.00	=	\$0.00
First presentation of any Multiple Dependent Claims:		+					\$360.00	=	\$0.00

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CLAIMS FEE TOTAL = \$0.00

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[ ] Applicant hereby petitions for an extension of time under 37 C.F.R. §1.136(a) for the total number of months checked below:

[ ] Extension for response filed within the first month:	\$120.00	\$0.00
[ ] Extension for response filed within the second month:	\$450.00	\$0.00
[ ] Extension for response filed within the third month:	\$1,020.00	\$0.00
[ ] Extension for response filed within the fourth month:	\$1,590.00	\$0.00
[ ] Extension for response filed within the fifth month:	\$2,160.00	\$0.00
EXTENSION FEE TOTAL:		\$0.00
[ ] Statutory Disclaimer Fee under 37 C.F.R. 1.20(d):	\$130.00	\$0.00
CLAIMS, EXTENSION AND DISCLAIMER FEE TOTAL:		\$0.00
[ ] Small Entity Fees Apply (subtract ½ of above):		\$0.00
Extension Fees Previously Paid:		\$0.00
TOTAL FEE:		\$0.00

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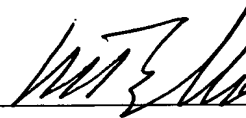
If any extensions of time are needed for timely acceptance of papers submitted herewith, applicant hereby petitions for such extension under 37 C.F.R. §1.136 and authorizes payment of any such extensions fees to Deposit Account No. 19-0741.

Please direct all correspondence to the undersigned attorney or agent at the address indicated below.

Respectfully submitted,

Date November 21, 2006

By \_\_\_\_\_



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Atty. Dkt. No. 049212-0104

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Bruce Bent et al.

Title: SYSTEMS AND METHODS FOR  
ADMINISTERING RETURN  
SWEEP ACCOUNTS

Appl. No.: 10/071,053

Filing Date: 02/08/2002

Examiner: Daniel S. Felten

Art Unit: 3624

AMENDMENT AND REPLY UNDER 37 CFR 1.111

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This is responsive to the Non-Final Office Action dated September 7, 2006,  
concerning the above-referenced patent application.

**Amendments to the Claims** are reflected in the listing of claims which begins on  
page 4 of this document.

**Remarks/Arguments** begin on page 9 of this document.

Please amend the claims as follows:

**Listing of Claims:**

1. (Currently amended) A method for managing a plurality of client demand  
accounts including the steps of: